Preliminary Classification:

Proposed Class:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand comer of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129.' " M.P.E.P., § 601, 7th ed.

## TRANSMITTAL LETTER TO THE UNITED STATES ELECTED OFFICE (EO/US)

## (ENTRY INTO U.S. NATIONAL PHASE UNDER CHAPTER II)

(ENIKI INIO 6.5	J. 14122	1009
PCT/US99/28307	01 December 1999	02 December 1998 PRIORITY DATE CLAIMED
PC170377720307	INTERNATIONAL FILING DATE	
INTERNATIONAL APPLICATION NO. WATER-BORNE POLYMERIC	C COMPLEX AND ANTI-CORROSIVE	COMPOSITION
TITLE OF INVENTION Yang, Sze Cheng; Brow	wn, Richard	
APPLICANT(S)		
Box PCT Assistant Commissioner for Washington D.C. 20231 ATTENTION: EO/US	r Patents	
(	(Express Mail label number is mandatory) (Express Mail certification is optional.)  tal Letter and the papers indicated as being Postal Service on this date May 30, EL821866 essee" Mailing Label Number its, Washington, D.C. 20231.  Julie A. Cat	ng transmitted therewith is being 2001, in an envelope as 605US, addressed to the:
		nerson mailing paper)

or print name of person mailing paper)

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

\*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Transmittal Letter to the United States Elected Office (EO/US) [13-18]—page 1 of 8)

NOTE: To a pandonment of the application, the applicant shall all to the USPTO, not later than 20 amonth of the priority date: (1) a copy of the international ation, unless it has been previously communicated by the International Bureau or unless it was originally filed in the USPTO; and (2) the basic national fee (see 37 C.F.R. § 1.492(a)). The 30-month time limit may not be extended. 37 C.F.R. § 1.495.

WARNING: Where the items are those which can be submitted to complete the entry of the international application into the national phase are subsequent to 30 months from the priority date the application is still considered to be in the international state and if mailing procedures are utilized to obtain a date the express mail procedure of 37 C.F.R. § 1.10 must be used (since international application papers are not covered by an ordinary certificate of mailing—See 37 C.F.R. § 1.8.

NOTE: Documents and fees must be clearly identified as a submission to enter the national state under 35 U.S.C. § 371 otherwise the submission will be considered as being made under 35 U.S.C. § 111. 37 C.F.R. § 1.494(f).

- 1. Applicant herewith submits to the United States Elected Office (EO/US) the following items under 35 U.S.C. § 371:
  - a. (X) This express request to immediately begin national examination procedures (35 U.S.C. § 371(f)).
  - b. 
    The U.S. National Fee (35 U.S.C. § 371(c)(1)) and other fees (37 C.F.R. § 1.492) as indicated below:

## .531 Rec'd PCT/

## Fees (5) CALCULA-(4) RATE (3) NUMBER (2) NUMBER (1) FOR CLAIMS TIONS EXTRA . FILED FEE TOTAL **\_**\* CLAIMS $\times$ \$18.00= 144.00 -20= 8 INDEPENDENT CLAIMS × \$80.00= . 0 2 270.00 + \$270.00 MULTIPLE DEPENDENT CLAIM(S) (if applicable) ☑ U.S. PTO WAS INTERNATIONAL PRELIMINARY EXAMINATION BASIC FEE\*\* Where an International preliminary examination fee as set forth in § 1.482 has been paid on the international application to the U.S. PTO: and the international preliminary examination report states that the criteria of novelty, inventive step (nonobviousness) and industrial activity, as defined in PCT Article 33(1) to (4) have been satisfied for all the claims presented in the application entering the national stage (37 C.F.R. § 1.492(a)(4)) ......\$100.00 🔯 and the above requirements are not met (37 C.F.R. 690.00 § 1.492(a)(1)) . U.S. PTO WAS NOT INTERNATIONAL PRELIMINARY **EXAMINATION AUTHORITY** Where no international preliminary examination fee as set forth in § 1.482 has been paid to the U.S. PTO, and payment of an international search fee as set forth in § 1.445(a)(2) to the U.S. PTO: .... \$710.00 ☐ has been paid (37 C.F.R. § 1.492(a)(2)) ...... ☐ has not been paid (37 C.F.R. § 1.492(a)(3)) ..... \$1000.00 ☐ where a search report on the international application has been prepared by the European Patent Office or the Japanese Patent Office (37 C.F.R. § 1.492(a)(5)) Total of above Calculations \$1,104.00 Reduction by 1/2 for filing by small entity, if applicable. XHINXXVIK SMALL HANNEY FUND MEN X NOTE OF THE STANK OF THE S 552.00 **ENTITY** Subtotal \$ 552.00 Applicant claims Small Entity Total National Fee 552.00 Fee for recording the enclosed assignment document \$40.00 (37 C.F.R. § 1.21(h)). (See Item 13 below). See attached "ASSIGNMENT COVER SHEET". Total Fees enclosed \$ 552.00 TOTAL

						•			• • •	56935
*See at	ta	Prelimin	ary Ame	ndment	Reduc	ing the	DE	er of Cia	iim <b>s.</b> 552.0	0
X	Atta	ched is a	⊠ chec	k □m	oney or	raer in	tne amoi	ners.	0	ARNV 200
. 0	Auth	orization	is hereb	y made	to chi	<b>39 H</b>	ecrepti	Cor > -	- 3 (	MAY 200
	区	to Depos	it Accou	nt No	19-0	<u> </u>				s authoriza-
		tion form	PTO-20	38.		,				authoriza-
WARNIN	G: Cre	edit card info	ormation s	hould <b>not</b>	be inclu	ded on	this form a	ıs it may i	become p	ubiic.
図	Cha in th	rge any a ne manne	idditiona r authori	l fees re zed abo	equired ve.	by thi	s paper	or crea	it any o	verpayment
, A	duplic	ate of this	s paper	is attach	red.			• •		Laure Satant
	a ti	nd Tradema he basic nati 5 1.495(b).	irk Office n ional fee (s	ee § 1.492	an the e. 2(a)). The	30-mon	th time lim	it may no	be extend	I States Patent y date: * * * (2) ded." 37 C.F.R.
WARNIN	sui be se thi is da pr 40	bmitted by to met within a to forth in \$ into (30) mon required for the Failure to covisions of \$ 0.	the applical at time period 1.492(e) is this after the acceptance comply we 1.136 ap	nt within the diset by the required and priority of the control of	nirty (30) ne Office. as a condate. The nglish tra requirem period v	37 C.F.F. dition for e paymer anslation ents will which is	R. § 1.495( r accepting nt of the pa later than result in al set. Notice	b)(2). The oath rocessing thirty (30, bandonme of Jan.	payment of or declar fee set for months a ent of the a 3, 1993, 1	have not been nuirements may fithe surcharge ation later than th in § 1.492(f) after the priority application. The 147 O.G. 29 to
3. 🗵	Ac	copy of th	e Interna	ational a	pplicat	ion as	filed (35	U.S.C.	9 3/1(0	i)(Z)). ha intomational
NOTE:	applica "The Ir accord commo design applica	ntion must be nternational allance with Founication to lated offices ant desires to	e filed with Bureau non PCT Article the Office. as conclusto enter the	the Officermally provided the 20. At the In accordance evider e national	e by 30 vides the same to lance with stage, the same that stage, the same reconstructions.	monuns copy of time, the th PCT I the com he applic	f the inten- Internation Rule 47.1, Immunication Cant normand then pay	national a nal Burea that notic n has dul ally need of the basic	pplication u notifies e shall be y taken pla only check national fi	the international abandonment. to the Office in applicant of the accepted by all ice. Thus, if the k to be sure the see by 30 months em 14c below.
	a.	☐ is tr	ansmitte	d herew	rith.	•	•	•		
	b.	⊠ is n Receivir	ot requi ng Office	red, as	the ap	plication	on was	filed wi	th the U	Inited States
	. <b>c.</b>	☐ has	been trai	nsmitted						
		i. 🗆	by the l Date of	Internation mailing	onal Bu of the	ureau. applic	ation (fr	om forn	PCT/1	B/308):
		ii. 🗆	by appl	icant on	·		(D	ate)		
4.		translation	n of the	Internation	onal ap	pplicati	on into	the Eng	lish lang	uage
	a.		ransmitte		vith.					-
	b.		not requi			lication	n was fil	ed in E	nglish.	
•	c.		s previou							(Date)
	d.		l follow.	. •						
		· _			La Ilaito	d States	- Florted (	Office (FC	/US) [13-1	18]—page 4 of 8)

(Transmittal Letter to the United States Elected Office (EO/US) [13-18]—page 4 of 8)

09/856935 531 Rec'd PCT/: 30 MAY 2001

	•						ا در	1100 0	•	**
5.	X	- (	35	HS.C.	nts to the clair . § 371(c)(3)):					
NOT	<b>E:</b>	The and price do sub an	Not cor crity so v cmit	tice of Jatinuing date an vill not it that substandings	anuary 7, 1993 po practice that PCI of this deadline m result in loss of the oject matter in a p t under section of 17 O.G. 29-40, at	nay not be extended and subject matter that the subject matter that the subject matter and the subject and the	nded. The Ner of the PC	otice further T Article 19 a under section	advises that amendments 1.121. In m	: "The failure to . Applicant may any cases, filing
		i	a.	☐ are	e transmitted	herewith.				
		1	b.	☐ ha	ive been trans	mitted				
ı.				·i. E	by the Inter Date of mai	national Bui iling of the a	reau. amendmer	nt (from for	m PCT/18	3/308):
					•		•	•		
				ii. [	∃ by applican	it on		. (Date)		
			c.	⊠ ha	ave not been t	transmitted	as			· · · · · · · · · · · · · · · · · · ·
			-	į. (	applicant c Date of ma	hose not to iling of Sea	make am rch Report	endments (from for	under PC n PCT/IS/	T Article 19. V210.):
			· ·		made will b	lments or a le transmitte 46.1.	statement d before th	that amerne expiration	ndments n on of the ti	me limit under
6.	Ę	X	A 1	transla 3 U.S.C	tion of the am C. § 371(c)(3))	nendments 1 :	o the clair	ns under i	-CI Artici	6 1 <del>3</del>
	•		a.	□is	transmitted h	nerewith.			<u>-</u>	
			b.	□is	not required	as the amer	ndments w	ere made	in the Eng	ilish language.
			c.		as not been to					o(c) above.
7.	1	X	Α	сору	of the internat	ional examir	nation repo	ort (PCT/IP	EA/409)	
				□is	s transmitted I	nerewith.				Olataa Baasii
				ir	s not required a					States Receiv-
8.		<b>X</b> .	Ar	nex(e	s) to the interr	national prel	iminary ex	amination	report	
			a.	☐ is	s/are transmitt	ed herewith	<b>L</b>	. •		
			b.		s/are not required	ce.				
9.		X	A	transla	ation of the ar	nexes to th	e internati	onal prelim	iinary exai	nination report
			a.	· 🗆 i	s transmitted	herewith.	••	*.*		·
			b.	X i	is not required	as the ann	nexes are i	in the Engl	ish langua	ige.

(Transmittal Letter to the United States Elected Office (EO/US) [13-18]—page 5 of 8)

10. 🗵	35	th or declaration of the inventor (35 U.S 371(c)(4)) complying with 3.S.C. § 115
•	a.	was previously submitted by applicant on
		531 Rec'd PC 3 0 MAY 20
	b.	☐ is submitted herewith, and such oath or declaration ☐ is extended to the application
		i. It is attached to the application.
		ii. I identifies the application and any amendments under PCT Article 19 that were transmitted as stated in points 3(b) or 3(c) and 5(b); and states that they were reviewed by the inventor as required by 37 C.F.R. § 1.70.
	c.	⊠ will follow.
II. Other	docu	ment(s) or information included:
11. 🗵	An	International Search Report (PCT/ISA/210) or Declaration under T Article 17(2)(a):
	a.	☐ is transmitted herewith.
	b.	☐ has been transmitted by the International Bureau.  Date of mailing (from form PCT/IB/308):
	c.	☑ is not required, as the application was searched by the United States International Searching Authority.
	d.	will be transmitted promptly upon request.
•	e.	☐ has been submitted by applicant on
		Date
12. 🗵	Ar	Information Disclosure Statement under 37 C.F.R. §§ 1.97 and 1.98:
	a.	☑ is transmitted herewith.
		Also transmitted herewith is/are:
		☐ Copies of citations listed.
	b.	THE MONTHS of the date of submission
•	<b>c.</b>	☐ was previously submitted by applicant on
13.	i Aı	assignment document is transmitted herewith for recording.
10.		separate   "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPA- YING NEW PATENT APPLICATION" or  FORM PTO 1595 is also attached.
•		

09/856935 531 Rec'd PCT/ 3 0 MAY 2001

	331 Hec a 1 3 11
14. 🖾	Additional documents:
	a.
•	b.  International Publication No. WO 00/32844
	i. 🖾 Specification, claims and drawing
	ii.  Front page only
	·
	c. Preliminary amendment (37 C.F.R. § 1.121)
	d. Other
•	
45 50	The above checked items are being transmitted
15.	
	a.   Before 30 months from any claimed priority date.
•	b. after 30 months.
<b>16.</b> $\Box$	Certain requirements under 35 U.S.C. § 371 were previously submitted by the applicant on, namely:
÷	
•	
•	
	AUTHORIZATION TO CHARGE ADDITIONAL FEES
•	AUTHORIZATION TO CHARLES ADDITIONS

WARNING: Accurately count claims, especially multiple dependant claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of time in any concurrent in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

- Please charge, in the manner authorized above, the following additional fees that may be required by this paper and during the entire pendency of this application:
  - X 37 C.F.R. § 1.492(a)(1), (2), (3), and (4) (filing fees)

WARNING: Because failure to pay the national fee within 30 months without extension (37 C.F.R. § 1.495(b)(2)) results in abandonment of the application, it would be best to always check the above box.

(Transmittal Letter to the United States Elected Office (EO/US) [13-18]-page 7 of 8)

.*	E E	37 C.F.R. § 1.492(b	), (c) and (d) (presentation of extra claims)
NOTE:	must only be set for respo not to author after final act	itional fees for excess or mu paid or these claims can inse by the PTO in any no ize the PTO to charge addit tion.	ultiple dependent claims not paid on filing or on later presentation celled by amendment prior to the expiration of the time period ptice of fee deficiency (37 C.F.R. § 1.492(d)), it might be best ional claim fees, except possible when dealing with amendments 531 Rec'd PCT 30 MAY 200
	<b>X</b>	37 C.F.R. § 1.17 (a	pplication processing fees)
	X	37 C.F.H. § 1.17(a)(	1)-(5) (extension fees pursuant to § 1.136(a).
		37 C.F.R. § 1.18 (is: pursuant to 37 C.F.	sue fee at or before mailing of Notice of Allowance, R. § 1.311(b))
NOTE:	of a Notice of	to shows the i	ssue fee to a deposit account has been filed before the mailing will be automatically charged to the deposit account at the time
NOTE:	37 C.F.R. § be filed in the	1.28(b) requires "Notification application prior to p	on of any change in loss of entitlement to small entity status must baying, or at the time of paying issue fee." From the wording of change of status must be made even if the fee is paid as "other ation is required if the change is to another small entity.
	_	37 C.F.R. § 1.492(and/or filing an Eng	e) and (f) (surcharge fees for filing the declaration plish translation of an International Application later the priority date).
			Then the
	• • • •		SIGNATURE OF PRACTITIONER
Reg. No	o.: 24,44	5	Richard L. Stevens
Tel No	.: (617 <b>)</b> 42	6-9180 Ext. 122	(type or print name of practitioner)
	(01/ / 1		Samuels, Gauthier & Stevens
	ar No	•	P.O. Address
Custom	ier NO		225 Franklin Street, Suite 3300
			Boston, MA 02110

(Transmittal Letter to the United States Elected Office (EO/US) [13-18]—page 8 of 8)